ICT Audits

Paul Bellamy

Identify activities

- ICT Strategic Plan
- Council and service plans
- ICT infrastructure management system
- ICT Service catalogue
- Consultation with ICT and operational service managers

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Risk scoring

- Apply the Internal Audit risk scoring methodology
- Factors
  - Priority of service and the impact if it failed
  - Activity stability and complexity
  - Legal or regulatory compliance and the confidentiality nature of data held
  - Time since last audit and the outcome
- Target high and medium risk activities

Service Delivery

- Internal by ICT services
- Externally by third party companies
- Partnership working involving the transfer of data between Nottinghamshire County Council and partner organisations

Assurance Mapping

- Reviews and assessments by external bodies
  - Public Services Network assessment
- IT Health Checks
- Microsoft – Active Directory
- Risual – DirectAccess for connecting tablets to the network
- Management controls and reviews

Internal Audit Approach

- <u>External reviews</u>
  - Examine review output
  - Determine the extent to which it covers the risks
  - Identify remedial actions to be taken and obtain details of planned and completed actions to remedy risks

Internal Audit Approach

- Obtain details of management reviews of externally provided services

- Assess adequacy regarding frequency and range of coverage

- Check that issues have been raised with provider and remedial actions planned and taken

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Internal Audit Approach

- Identify and agree the risks with management
- Determine the expected controls and match against the actual management controls
- Test for compliance and substantiate that the expected results are produced
- Identify failures of control and/ or outcomes
- Make recommendations to improve control and agree actions with management

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High Risk Areas

- Business Management System

- Public Services Network

- Internet Controls

- Multi Agency Safeguarding Hub

- Frameworki

- Abacus

Integration with Systems Audits

- ICT elements are reviewed as part of each relevant system audit

- Focus is on
  - Ownership and management
  - Security and access controls
  - Data input, processing and output controls
  - Business continuity arrangements

Projects

- Identify projects to become involved in
- Role of "critical friend" to ensure that risks are identified and mitigated
- Example of projects reviewed
  - Business management System
  - Civica Universal Pensions Management
  - IT Mobilisation
- This work requires a much more proactive approach and the production of timely output